



FORM PTO-1449	SERIAL NO. To Be Assigned	CASE NO. 10371/8
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE Herewith	GROUP ART UNIT To Be Assigned
(use several sheets if necessary)	APPLICANT(S): Peter L. Ciampi et al.	

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS			
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	5,517,406	05/14/1996	Harris et al.		
	A2	5,631,828	05/20/1997	Hagan		
	A3	5,644,727	07/01/1997	Atkins		
	A4	5,729,700	03/17/1998	Melnikoff		
	A5	5,784,696	07/21/1998	Melnikoff		
	A6	5,806,048	09/08/1998	Kiron et al.		
	A7	5,852,811	12/22/1998	Atkins		
	A8	5,864,828	01/26/1999	Atkins		
	A9	5,875,437	02/23/1999	Atkins		
	A10	5,884,285	03/16/1999	Atkins		
	A11	5,911,135	06/08/1999	Atkins		
	A12	5,911,136	06/08/1999	Atkins		
	A13	5,918,218	06/29/1999	Harris et al.		
	A14	5,926,792	07/20/1999	Koppes et al.		
	A15	5,946,666	08/31/1999	Nevo et al.		
	A16	5,983,204	11/09/1999	Debe		
	A17	5,999,917	12/07/1999	Facciani et al.		
	A18	6,018,714	01/25/2000	Risen, Jr. et al.		
	A19	6,029,148	02/22/2000	Zurstrassen		
	A20	6,078,904	06/20/2000	Rebane		
	A21	6,088,685	07/11/2000	Kiron et al.		
	A22	6,154,732	11/28/2000	Tarbox		



EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A23	Eric Zitzewitz, Daily mutual fund net asset value predictability and the associated trading profit opportunity, February 2000
	A24	John M.R. Chalmers, Robert M. Edelen & Gregory B. Kadlec, Predictable changes in NAV: The wildcard option in transacting mutual-fund shares, February 2000
	A25	William N. Goetzmann, Zoran Ivkovic & K. Geert Rouwenhorst, Day Trading International Mutual funds: Evidence and Policy Solutions, March 31, 2000
	A26	Mercer Bullard, "International Funds Still Sitting Ducks for Arbs," <u>TheStreet.com</u> , July 11, 2000
	A27	The Bank of New York, Depositary Receipt Division, The Global Equity Investment Guide: The Case for Investing in Depositary Receipts, November 20, 2000
	A28	Robin Brooks & Luis Catão, The New Economy and Global Stock Returns, December 2000
	A29	Jasan T. Greene & Charles W. Hodges, The Dilution Impact of Daily fund Flows on Open-end Mutual Funds
	A30	Draper & Smith, "Stepwise Regression," <u>Applied Regression Analysis</u> , 3d ed.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
A31	Mark Hulbert, "Monitoring Trades for the Good of a Fund", <u>New York Times</u>	



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